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Term:	<div style="border: 1px solid black; height: 40px; width: 100%;"></div>
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<i>DB=USPT; PLUR=YES; OP=OR</i>			
<u>L9</u>	5963923.pn.	1	<u>L9</u>
<i>DB=PGPB,USPT,USOC,EPAB,JPAB,DWPI,TDBD; PLUR=YES; OP=OR</i>			
<u>L8</u>	L7 and (software or spreadsheet)	31	<u>L8</u>
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<u>L1</u>	(on-line or online) near trading near account.ti.	1	<u>L1</u>

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<u>L7</u>	L6 and software	10	<u>L7</u>
<u>L6</u>	L5 and analysis	10	<u>L6</u>
<u>L5</u>	L2 and market	16	<u>L5</u>
<u>L4</u>	L3 and software	2	<u>L4</u>
<u>L3</u>	L1 and market near analysis	2	<u>L3</u>
<u>L2</u>	L1 and software	19	<u>L2</u>
<u>L1</u>	(on-line or online or internet or network or www) near (trading or buy\$ or bidd\$) near account	22	<u>L1</u>

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L9 and analysis near (software or tools or programs or applications)	6

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<u>L3</u>	(market near analysis or buy\$ or trad\$ or bidd\$ near behavior near analysis) near2 software	2264	<u>L3</u>
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L1 market near analysis near software

6 L1

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<u>L1</u>	707/1	6943	<u>L1</u>

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☐ 1. Document ID: US 20030093360 A1

Using default format because multiple data bases are involved.

L23: Entry 1 of 4

File: PGPB

May 15, 2003

PGPUB-DOCUMENT-NUMBER: 20030093360

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20030093360 A1

TITLE: Systems, methods and computer program products for electronic trading of financial instruments

PUBLICATION-DATE: May 15, 2003

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
May, R. Raymond	Mathews	NC	US	

US-CL-CURRENT: 705/37

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	RMC	Draw. De
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☐ 2. Document ID: US 20020116317 A1

L23: Entry 2 of 4

File: PGPB

Aug 22, 2002

PGPUB-DOCUMENT-NUMBER: 20020116317

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20020116317 A1

TITLE: Systems and methods for reverse auction of financial instruments

PUBLICATION-DATE: August 22, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
May, Richard Raymond	Mathews	NC	US	

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	COUNTRY	TYPE CODE
Blackbird Holdings, Inc.				02

APPL-NO: 09/ 879372 [PALM]

DATE FILED: June 11, 2001

RELATED-US-APPL-DATA:

Application is a non-provisional-of-provisional application 60/211890, filed June 14, 2000,

Application is a non-provisional-of-provisional application 60/210816, filed June 9, 2000,

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37

US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 1

ABSTRACT:

An anonymous trading system which enables derivative dealers to setup credit preferences based upon their own models and provides counterparties, end-users and dealers with the option of choosing to remain anonymous during a derivative trading bidding process. Additionally, the systems and methods restrict derivative trading activity with counterparties where there is an existing banking relationship. Using the system and methods, end-users will be able to obtain prices from multiple dealers without the problems inherent in using a voice-based system by utilizing an electronic reverse auctioning process to anonymously obtain derivative trading bids simultaneously from one or many participating derivative dealers.

RELATED APPLICATION DATA

[0001] The present invention claims priority from U.S. Provisional Patent Application No. 60/211,890, titled "Systems And Methods For Reverse Auctions Of Derivatives", filed Jun. 14, 2000, and from U.S. Provisional Patent Application No. 60/210,816, titled "Online Digital Marketplaces And Methods For Dealer-Driven Electronic Trading Of Financial Instruments", filed Jun. 9, 2000, the entire contents of which are incorporated herein by reference. The present application also incorporates by reference the entire contents of U.S. patent application No. 09/169,906, titled "Systems, Methods and Computer Program Products For Electronic Trading Of Financial Instruments", filed Oct. 12, 1998.

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw De
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☐ 3. Document ID: US 20020004776 A1

L23: Entry 3 of 4

File: PGPB

Jan 10, 2002

PGPUB-DOCUMENT-NUMBER: 20020004776

PGPUB-FILING-TYPE: new

DOCUMENT-IDENTIFIER: US 20020004776 A1

TITLE: Method and system for automated trading of financial instruments

PUBLICATION-DATE: January 10, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	COUNTRY	RULE-47
Gladstone, Garry D.	Laguna Niguel	CA	US	

APPL-NO: 09/ 884303 [PALM]

DATE FILED: June 19, 2001

RELATED-US-APPL-DATA:

Application is a non-provisional-of-provisional application 60/216812, filed July 7, 2000,

Application is a non-provisional-of-provisional application 60/222558, filed August 3, 2000,

INT-CL: [07] G06 F 17/60

US-CL-PUBLISHED: 705/37

US-CL-CURRENT: 705/37

REPRESENTATIVE-FIGURES: 1

ABSTRACT:

In accordance with the present invention, there is provided a method of communicating trade orders in a marketplace for financial instruments through an on-line trading account with a financial institution. The method includes receiving trade trigger criteria and market data for use by market analysis software. The method further includes accessing the market analysis software to generate a trade decision using the trade trigger criteria and the market data. The method further includes automatically communicating a trade order, based upon the trade decision, to the marketplace via the on-line trading account.

CROSS-REFERENCE TO RELATED APPLICATIONS

[0001] The present application is related to provisional patent applications entitled "APPARATUS AND METHODS FOR AUTOMATIC ON-LINE ORDER ENTRY AND EXECUTION REPORT INTERFACE FOR ELECTRONIC TRADING OF FINANCIAL INSTRUMENTS", Ser. No. 60/216,812, filed on Jul. 7, 2000, and entitled "APPARATUS AND METHODS FOR AUTOMATIC ON-LINE ORDER ENTRY FOR ELECTRONIC TRADING OF FINANCIAL INSTRUMENTS", Ser. No. 60/222,558 filed on Aug. 3, 2000, which are incorporated herein by reference.

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWIC	Draw. De
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☐ 4. Document ID: US 6421653 B1

L23: Entry 4 of 4

File: USPT

Jul 16, 2002

US-PAT-NO: 6421653

DOCUMENT-IDENTIFIER: US 6421653 B1

**** See image for Certificate of Correction ****TITLE: Systems, methods and computer program products for electronic trading of financial instruments

DATE-ISSUED: July 16, 2002

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
May; R. Raymond	Mathews	NC		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Blackbird Holdings, Inc.	Charlotte	NC			02

APPL-NO: 09/ 169906 [PALM]

DATE FILED: October 12, 1998

PARENT-CASE:

CROSS-REFERENCE TO RELATED APPLICATION This application claims benefit of co-pending U.S. Provisional Application No. 60/062,410, entitled "Systems and Methods for Electronic Trading of Financial Contracts," and filed Oct. 14, 1997. In addition, the present application is related to the following co-pending, commonly assigned U.S. applications, each of which is incorporated by reference as if set forth in full: "Systems, Methods And Computer Program Products For Subject-Based Addressing In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09-169,767; "Systems, Methods And Computer Program Products For Monitoring Credit Risks In Electronic Trading Systems," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,878; and "Switch Engine For Risk Position Discovery In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,879.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/38, 705/39

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<u>3581072</u>	May 1971	Nymeyer	
<u>4674044</u>	June 1987	Kaimus et al.	
<u>4677552</u>	June 1987	Sibley, Jr.	
<u>4903201</u>	February 1990	Wagner	
<u>4953085</u>	August 1990	Atkins	
<u>4980826</u>	December 1990	Wagner	
<u>5003473</u>	March 1991	Richards	
<u>5077665</u>	December 1991	Silvermann et al.	
<u>5101353</u>	March 1992	Lupien et al.	
<u>5126936</u>	June 1992	Champion et al.	
<u>5136501</u>	August 1992	Silverman et al.	
<u>5168446</u>	December 1992	Wiseman	
<u>5193056</u>	March 1993	Boes	

<u>5258908</u>	November 1993	Hartheimer et al.	
<u>5270922</u>	December 1993	Higgins	<u>705/37</u>
<u>5285383</u>	February 1994	Lindsey et al.	
<u>5297031</u>	March 1994	Guttermann et al.	
<u>5375055</u>	December 1994	Togher et al.	
<u>5396552</u>	March 1995	Jahn et al.	
<u>5446885</u>	August 1995	Moore et al.	
<u>5517406</u>	May 1996	Harris et al.	
<u>5557517</u>	September 1996	Daugherty, III	
<u>5594639</u>	January 1997	Atsumi	
<u>5630127</u>	May 1997	Moore et al.	
<u>5802499</u>	September 1998	Sampson et al.	<u>705/35</u>
<u>5819237</u>	October 1998	Garman	
<u>5845266</u>	December 1998	Lupien et al.	<u>705/37</u>
<u>5873071</u>	February 1999	Ferstenberg et al.	<u>705/37</u>
<u>5905974</u>	May 1999	Fraser et al.	
<u>5915209</u>	June 1999	Lawrence	155/31.2
<u>5924082</u>	July 1999	Silverman et al.	
<u>5924083</u>	July 1999	Silverman et al.	
<u>5940810</u>	August 1999	Traub et al.	
<u>5950176</u>	September 1999	Keiser et al.	
<u>5970479</u>	October 1999	Shepherd	<u>705/37</u>
<u>6012046</u>	January 2000	Lupien et al.	<u>705/37</u>
<u>6014627</u>	January 2000	Togher et al.	
<u>6014643</u>	January 2000	Minton	
<u>6098051</u>	August 2000	Lupien et al.	<u>705/37</u>
<u>6134600</u>	October 2000	Liu	

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0 399 850	November 1990	EP	
0 407 026	January 1991	EP	
0 411 748	February 1991	EP	
WO 95 06918	March 1995	WO	
WO 96 05563	February 1996	WO	
WO 96 34357	October 1996	WO	
WO 97 03409	January 1997	WO	

OTHER PUBLICATIONS

Ludwig; "Supervision by risk" Journal of Commercial Lending, v78, p52-60., Nov. 1995; Dialog file 268, Accession No. 00274059.*

"Derivatives tool merger. . . C.ATS Software Inc.; LOR/Geske Bock Associates Inc" Software Industry Report, v28, n4, p4(1), Dialog file 148, Accession No. 08536443; Feb. 19, 1996.*

Maguire"Details on Derivatives: AIG Breaks Down Exposure by Industry"; Insurance Accountant; Jun. 13, 1994; p. 1; vol. 4, No. 23.*

Jerome Yen, Ho Geun, Lee and Tung BUI; Intelligent Clearinghouse:Elrctronic Marketplace with Computer-Mediated Negotiation Supports;Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29.sup.th Hawaii International conference on System Sciences, Wailea, HI, US, Jan. 3-6, 1996; pp. 219-2217, vol.3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.

ART-UNIT: 2765

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

ATTY-AGENT-FIRM: Alston & Bird LLP

ABSTRACT:

An internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty. To that end, each bid or offer is prescreened against all possible counterparties' credit information in the system and each counterparty sees a unique color coded trading interface based upon their particular credit preference combinations and the others in the system. The system then shows all prices in the system, and the color-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade.

47 Claims, 40 Drawing figures

Full	Title	Citation	Front	Review	Classification	Date	Reference	Sequences	Attachments	Claims	KWC	Draw. De
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